

TIMBUS

TIMELESS BUSINESS   



Sponsored by the European Commission Directorate for Information Society

Certifying Preservation Actions - TRAC and related initiatives

What does success look like?



Long time coming ...

‘certified archival repositorywill be able to prove that they are who they say they are by meeting or exceeding the standards and criteria of an independently-administered program for archival certification’ CPA/RLG 1996

Connection to

- Outsourcing / business planning for service provision
- Legal place of deposit (cf NDAD and UKDA)
- Accreditation (cf Archives for the 21st Century etc)
- Credibility of ‘the new profession’



Trusted Digital Repository



The Trusted Digital Repository...

1. Compliance with OAIS
2. Administer responsibly
3. Organizational viability
4. Financial sustainability
5. Technological and procedural suitability
6. System security
7. Procedural accountability

OCLC/Research Libraries Group 2002 Trusted Digital Repositories Attributes and Responsibilities, RLG, online at: <http://www.oclc.org/research/activities/past/rlg/trustedrep/repositories.pdf> last checked 06/07/2011



Trusted Repository Audit and Certification



TRAC ...

1. Organisational Infrastructure

- *Governance, Staffing, Policy Finance, Legalities*

2. Digital Object Management

- *Acquisition of Content, Creation of AIP, Preservation Planning, Archival Storage, Information Management, Access Management*

3. Technology, infrastructure and Security

- *System infrastructure, Appropriate Technologies, Security*

Center for Research Libraries / OCLC 2007 Trustworthy Repository Audit and Certification: Criteria and Checklist, Center for Research Libraries and OCLC online at:

http://www.crl.edu/sites/default/files/attachments/pages/trac_0.pdf last checked 06/07/2011



Trusted Repository Audit and Certification



Trustworthy Repositories Audit & Certification: Criteria Checklist				
	C. Technologies, Technical Infrastructure & Security	Auditor:	Page	Date
	C.3 Security			
	Evidence (Documents) Examined	Findings and Observations	Result	
C3.1 Repository maintains a systematic analysis of such factors as data, systems, personnel, physical plant, and security needs.				
C3.2 Repository has implemented controls to adequately address each of the defined security needs.				
C3.3 Repository staff have delineated roles, responsibilities, and authorizations related to implementing changes within the system.				
C3.4 Repository has suitable written disaster preparedness and recovery plan(s), including at least one off-site backup of all preserved information together with an off-site copy of the recovery plan(s).				



And some have even tried it

PORTICO

- *Post-cancellation access service for licensed content*
- *Escrow service for content*
- *Paid by libraries as insurance*
- *Paid by publishers as outsource*
- *Business case dependent on credibility*
- *Audited by CRL in 2010*



And APARSEN

The Center for Research Libraries (CRL) conducted a preservation audit of Portico ... and **hereby certifies Portico as a trustworthy digital repository**. CRL has found that Portico's services ... **conform to the requirements for a trusted digital repository**. ... CRL has concluded that the practices and services ... are generally **sound and appropriate to the content being archived** and the needs of the CRL community. ... CRL expects that in the future, Portico will **continue to be able to deliver content that is understandable and usable** by its designated user community.

worth it's weight in pixie dust?

Let's think about this for a moment....

If you didn't notice ...

- *E-journal content is a well developed field*
- *PORTICO is a commercial escrow agent for content*
- *Audit of an escrow agent lends credibility to it's claim*
- *PORTICO have a team of 30 programmers for one content type*

The screenshot shows the PORTICO website's 'Archive Certification' page. At the top, there is a navigation bar with 'HOME', 'CONTACT US', and 'SIGN UP'. Below this is a search bar. The main content area features a header with 'PORTICO' and the tagline 'Your content. Preserved here.' To the right of the header are several menu items: 'PORTICO SERVICES VALUE & BENEFITS', 'THE ARCHIVE: CONTENT & ACCESS', 'WHO PARTICIPATES IN PORTICO?', 'JOIN PORTICO', 'NEWS & EVENTS', and 'ABOUT US'. The main heading is 'Archive Certification'. Below this, there is a section titled 'Portico's Certification CRL Audit' which states that in 2010, Portico became the first digital preservation service to be independently audited by the Center for Research Libraries (CRL) and subsequently certified as a trusted, reliable digital preservation solution. A quote from Jeffrey Horrell, Dean of Libraries at Dartmouth College, is included: "In the end, it is a matter of trust that Portico will be there, and we have confidence in them." Below the quote, there is a link to 'Read more testimonials'. To the left of the main text, there is a sidebar with links to 'Archive Facts & Figures', 'Archive Growth', 'Content in the Archive', 'Recommend Content', 'Access to Archived Content', and 'Audit the Archive'. At the bottom of the sidebar, there is a box that says '70,887 Committed E-Books with PCA'. On the right side of the page, there is a section titled 'WHAT PARTICIPANTS SAY' with a logo for the Center for Research Libraries and a link to 'Read more testimonials'. At the bottom right, there is a section titled 'READ MORE ON CERTIFICATION' with links to 'Portico TRAC Self Report' and 'Final CRL Audit Report'.

And now APARSEN



1. Update to Core standards – ISO 1363
 - *Standard for a certification authority*
 - *Additional layers to access (more in a moment)*
2. Test Audits
 - *Ad hoc training for auditors*
 - *Reports from audits eagerly awaited*
3. Training materials for certification
 - *Those undertaking audits*
 - *Those preparing for audits*





1. DANS Data Seal of Approval

- *Lightweight self certification methodology for research data archives.*
- *Data Seal of Approval: Quality Guidelines for Digital Research Data, online at: <http://www.datasealofapproval.org/> last checked 06/07/2011*

2. Nestor Kriterienkatalog

- *Participation in distributed network for preservation, national basis*
- *Kriterienkatalog vertrauenswürdige digitale Langzeitarchive*
<http://edoc.hu-berlin.de/series/nestor-materialien/2006-8/PDF/8.pdf> last checked 06/07/2011

3. ASD-STAN LOTAR

- *Industry specific project to integrate OAIS with STEP to ensure legal verification of CAD / CAM and PDM data*
- *<http://www.lotar-international.org/> last checked 18/07/2011*





4. BS 10008

- *Standard for legal admissibility and evidential weight of digital data*
- *<http://shop.bsigroup.com/ProductDetail/?pid=000000000030172973> last checked 06/07/2011*

5. Public Records (Scotland) Act 2011

- *New statutory framework for public and contracting authorities in Scotland*
- *<http://www.legislation.gov.uk/asp/2011/12/contents/enacted> last checked 18/07/2011*

6. etc

- *Increased fragmentation of efforts and proliferation of standards into industries or sector constraining interoperability of services and staff, reducing efficiency and profitability of solution, inhibiting implementation of preservation policies*





Unification of standards into single stepped process

- *Memorandum of understanding between sponsors of OAIS, TRAC and Data Seal of Approval*
- *Three step integrated framework of basic, extended and formal certification*
- *<http://www.trusteddigitalrepository.eu/Site/Trusted%20Digital%20Repository.html> last checked 06/07/2011*

DPC Peer Review Task Force

- *Large network of players with collections and skills impatient for clarification of processes*
- *Self help, peer review 'towards certification'*



Some unanswered questions



What is a certification authority

- *Who is APARSEN? DPC? CLR? And what gives them authority*
- *CAA, IAEA, Keeper of the Public Records*

What standard to chose?

- *What is the right level for me*
- *Will there be new standards? Surely service dependency more important than trusted repository*

What happens if I don't comply or fail to follow up?

- *What sanctions are there and how would they work?*
- *What are the liabilities of the certification authority?*

Who will actually do the external certification

- *New generation of auditors? new business case?*
- *Embedded into existing review and accreditation services*

